

UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42P17910

(maximum 12 characters)

First Named Inventor Ansheng Liu et al.

Title: METHOD AND APPARATUS FOR DUAL TAPERING AN OPTICAL WAVEGUIDE

Express Mail Label No. EV320118510US

U.S. PTO
10/713879
17497



ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. **Specification (Total Pages 29)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. **Drawings(s) (35 USC 113) (Total Sheets 8)**
5. **Oath or Declaration (Total Pages 5)**
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet. (37 CFR 1.76)**
7. **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8. **Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)**
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & documents(s))**
10. _____ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
- _____ **Power of Attorney**
11. _____ English Translation Document (if applicable)
12. a. **Information Disclosure Statement (IDS)/PTO-1449 (or PTO/SB/08)**
- _____ b. **Copies of IDS Citations**
13. _____ Preliminary Amendment
14. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
15. _____ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. _____ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- 17A. _____ Claim for Foreign Priority
- 17B. Other: separate sheet with title, express mail label number, copy of postcard, and attorney's signature

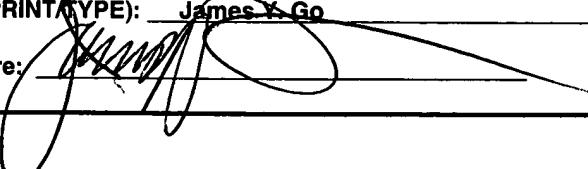
17C. Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title (e.g., by way of preliminary amendment), or in an Application Data Sheet Under 37 C.F.R. 1.76:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)
Of Prior Application No.: _____	Examiner _____	Group Art Unit _____
(which is a <input type="checkbox"/> continuation/ <input type="checkbox"/> divisional/ <input type="checkbox"/> CIP of prior application no. _____, which is a <input type="checkbox"/> continuation/ <input type="checkbox"/> divisional/ <input type="checkbox"/> CIP of prior application no. _____) (List entire chain of priority)		

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. Correspondence Address Customer Number or Bar Code Label here)	(Insert Customer No. or Attach Bar Code Label	
or		
<input checked="" type="checkbox"/> Correspondence Address Below NAME <u>James Y. Go</u>		
<u>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP</u>		
ADDRESS <u>12400 Wilshire Boulevard</u>		
<u>Seventh Floor</u>		
CITY <u>Los Angeles</u>	STATE <u>California</u>	ZIP CODE <u>90025</u>
Country <u>U.S.A.</u>	TELEPHONE <u>(206) 292-8600</u>	FAX <u>(206) 292-8606</u>

Name (PRINT/TYPE): <u>James Y. Go</u>	Registration N .: <u>40,621</u>
Signature: 	Date: <u>11-13-03</u>

FEE TRANSMITTAL FOR FY 2004

(FY 2004 Begins 10/01/2003)

TOTAL AMOUNT OF PAYMENT (\$) 1,022.00

Complaint if Known:

Application No. New Patent Application

Filing Date Herewith

First Name Inventor Ansheng Liu et al.

Examiner Name Not Yet Assigned

Art Unit Not Yet Assigned

Attorney Docket No. 42P17910

Applicant claims small entity status. See 37 CFR 1.27.

METHOD OF PAYMENT (check all that apply)

Check Credit Card Money Order Other None

Deposit Account

Deposit Account Number : 02-2666

Deposit Account Name: _____

The Director is Authorized to do the following with respect to the above-identified Deposit Account:

Charge fee(s) indicated below.

Credit any overpayments.

Charge any additional fees during the pendency of this application.

Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.

Charge fee(s) indicated below except for the filing fee.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
1001	770	2001	385
1002	340	2002	170
1003	530	2003	265
1004	770	2004	385
1005	160	2005	80
		Utility application filing fee	<u>770</u>
		Design application filing fee	_____
		Plant filing fee	_____
		Reissue filing fee	_____
		Provisional application filing fee	_____

SUBTOTAL (1) \$ 770

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims <u>27</u>	$- 20^{**} = 7$	X <u>18</u>	= <u>126</u>
Independent Claims <u>4</u>	$- 3^{**} = 1$	X <u>86</u>	= <u>86</u>
Multiple Dependent			= _____

**Or number previously paid, if greater; For Reissues, see below.

Large Entity	Small Entity	Fee Description
Fee	Fee	Fee
Code	(\$)	Code
1202	18	2202
1201	86	2201
1203	290	2203
1204	86	2204
1205	18	2205
		Claims in excess of 20
		Independent claims in excess of 3
		Multiple dependent claim, if not paid
		**Reissue independent claims over original patent
		**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 212

FEE CALCULATION (continu d)

3. ADDITIONAL FEES

<u>Larg Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>		
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive – unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	770	2809	385	For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	110	2814	55	Statutory Disclaimer	
1810	770	2810	385	For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,330	1454	1,330	Acceptance of unintentionally delayed claim for priority	

Other fee (specify) _____

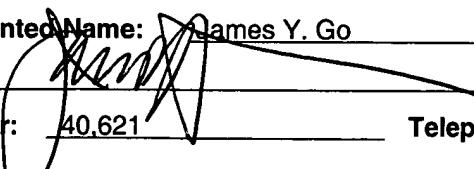
Other fee (specify) _____

SUBTOTAL (3) \$ 40

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: James Y. Go

Signature:  Dat : 11-13-03

Reg. Numbr: 40,621 Telephone Number: (206) 292-8600

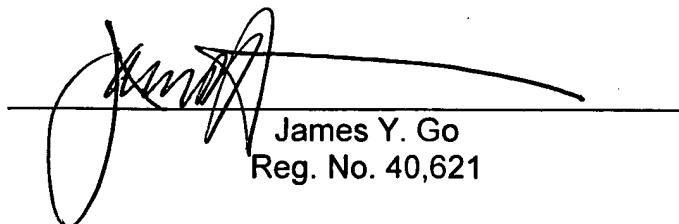
Send to : Commission for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

METHOD AND APPARATUS FOR DUAL TAPERING AN OPTICAL WAVEGUIDE

Inventors: Ansheng Liu, Doron Rubin

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP



James Y. Go
Reg. No. 40,621

"Express Mail" mailing label number: EV320118510USDate of Deposit: November 13, 2003

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Luci M. Arevalo

(Typed or printed name of person mailing paper or fee)

Luci M. Arevalo November 13, 2003

(Signature of person mailing paper or fee) (Date signed)

Serial/Patent No.	<u>New Patent Application</u>	Filing/Issue Date	<u>Referendum</u>
Client	<u>Intel Corporation</u>		
Title	<u>METHOD AND APPARATUS FOR DUAL TAPERING AN OPTICAL WAVEGUIDE</u>		
BSN/T File No.	<u>42P17910</u>		
Date Mailed	<u>November 13, 2003</u>		
The following has been received in the U.S. Patent & Trademark Office on the date stamped herein:			
<input type="checkbox"/> Amendment/Response - <u>1</u> pg. <input type="checkbox"/> Appeal Brief - <u>pgs.</u> in reapplication <input type="checkbox"/> Application - Utility - <u>29</u> pgs. with cover sheet <input type="checkbox"/> Application - Rule 1.83(b) continuation - <u>0</u> pg. <input type="checkbox"/> Application - Rule 1.83(b) Divisional - <u>0</u> pg. <input type="checkbox"/> Application - Rule 1.83(b) C/G - <u>0</u> pg. <input type="checkbox"/> Application - Rule 1.83(d) OA/Transmittal - <u>0</u> pg. <input type="checkbox"/> Application - Design - <u>0</u> pg. <input type="checkbox"/> Application - PCT - <u>0</u> pg. <input type="checkbox"/> Application - Provisional - <u>0</u> pg. <input type="checkbox"/> Assignment and Cover Sheet <input type="checkbox"/> Certificate of Mailing <input type="checkbox"/> Declaration & POA - <u>5</u> pg. <input type="checkbox"/> Declaration & Oath & Copy of Invention Statement - <u>0</u> pg. <input type="checkbox"/> Drawings - <u>8</u> # on sheet contains <u>15</u> pgs. <input type="checkbox"/> Other: <u>Certificate of Mailing with copy of return postcard signed by attorney's copy of one (1) certified US reference</u>			
Att'y/Secty Initials	JMG/Jms	Docket Due Date	<u>2003-11-13</u>
<input type="checkbox"/> Express Mail No. <u>EV320118510US</u> Check No. <u>321</u> <input type="checkbox"/> Monthly Statement of Account <u>0</u> <u>0</u> <u>0</u> <input type="checkbox"/> Information Disclosure Statement <u>0</u> <u>0</u> <u>0</u> Case No. <u>0</u> <input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Notice of Appeal <input type="checkbox"/> Petition for Extension of Time <input type="checkbox"/> Petition for Reconsideration <input type="checkbox"/> Postcard <input type="checkbox"/> Power of Attorney - <u>0</u> pg. <input type="checkbox"/> Preliminary Amendment - <u>0</u> pg. <input type="checkbox"/> Reply Brief - <u>0</u> pg. <input type="checkbox"/> Response to Notice of Nonstatute - <u>0</u> pg. <input type="checkbox"/> Small Entity Declaration for Inventor/Assignee/Small Business <input type="checkbox"/> Transmittal Notice in duplicate <input type="checkbox"/> Fee Transmittal in duplicate			